DEC STD 066-2 Waivers to Digital Design Standards

DOCUMENT IDENTIFIER: A-DS-EL00066-02-0000 Rev C1, 09-Oct-1992

ABSTRACT: This standard establishes the procedures and responsibilities that are required to prepare, review, approve, and control waivers to technical requirements for Digital products.

APPLICABILITY: This document is mandatory for Digital personnel responsible for the design, development, and manufacture or purchase of Digital products worldwide. This includes buyout products. This process is applicable to waivers of Digital design standards as listed in DEC STD 066-0 Digital Design Standards. This document must not be provided to vendors, subcontractors, customers, or OEMs, either with or without a non-disclosure agreement.

STATUS: APPROVED 09-Oct-1992; use VTX SMC for current status.

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1 INTRODUCTION

Digital develops, manufactures, sells, installs, and maintains products that meet the requirements of Digital design standards.

Digital's products are expected to comply with its major strategies, policies, and requirements. However, waivers to this compliance may be granted when requirements of specific products are not applicable in markets where these products are intended to be sold. Waivers may also be granted when Digital chooses not to comply with voluntary requirements.

The waiver process defined in this standard provides a visible, controlled method for handling proposed exceptions to Digital design standards.

1.1 PURPOSE

This document defines the policy, procedure, and responsibilities for waivers to design standard requirements for all Digital products worldwide.

For the purpose of this document, the term *technical waivers* refers to waivers to Digital design standards.

Other waiver-related process documents used in Digital are:

- *DEC STD 005-2 Reporting Products Potentially Non-Compliant with Digital Design Standards*
- *DEC STD 066-3 Policy for Designing Products for All Countries Designated as Strategic Markets*
- EL-MF005-00, *Manufacturing Waiver Policy*
- A-SP-7665075-00-0, *Procedure for Processing Non-Conforming Material and In-Process Waiver*

2 POLICY

The Product Business Unit (PBU) Manager is responsible for endorsing a waiver. The decision to endorse a waiver must be based on the following factors.

- Consistency with laws
- Consistency with regulations
- Consistency with business strategies
- Increase in long-term profit
- Decrease in total cost

The PBU is required to consider input from the standard owner before the PBU Manager endorses a waiver.

Technical waivers that violate legally mandated external regulations in countries where Digital does business cannot be issued. Refer to DEC STD 066-3 for more information.

Product design strategies must strive to reduce, and ultimately eliminate, the need for waivers to our products.

3 REVIEW AND APPROVAL PROCESS

The process for requesting, reviewing, and implementing a product technical waiver is outlined in Figure 1 and in the following procedure. Heading 7 defines specific responsibilities of individuals involved in this process.

All input must be documented during the review and approval process. The person responsible for driving the waiver through the waiver process, the *PBU representative*, shall send all input received to the Standards Process Manager. All correspondence should be done electronically to expedite distribution.

The process includes the following steps.

1. The PBU representative becomes aware that the product may not meet some requirement(s) of a Digital standard.

   The awareness of noncompliance may come from several sources, including the PBU, the Standard Owner, Country Regulatory Advisors, Manufacturing, and DEC STD 005-2.

   Awareness of noncompliance to Digital standards should apply to the complete life cycle of the product. This should include, but not be limited to, Seed Units, Special Production, Manufacturing, Refurbishment, Repair, or Replacement.

2. The PBU representative consults the standard owner to determine if a waiver is needed. At this time, the standard owner either provides or does not provide a preliminary recommendation for the waiver. When the standard activity has been decentralized, such as in the case of Product Safety, the standard owner shall involve the decentralized group representative associated with the appropriate PBU.

   The Standard Advisory Committee, the country regulatory advisors, and the legal department may also be used in the review of the waiver.

   During this consultation, the PBU representative works with the standard owner to seek alternatives and recommendations that eliminate the need for a waiver. If an alternative is not feasible, the PBU representative notifies the Standards Process Manager of a potential waiver request.

   The PBU representative is also expected to solicit and consider inputs from those groups that are affected by the business aspect of the waiver—QC, Sales, Field Service, Marketing, and other PBUs.

3. If a waiver is needed, the PBU representative prepares the electronic Waiver Request Form, shown in Figure 2, and attaches the standard owner's preliminary recommendations to the form.

4. The PBU representative sends the completed form to the Engineering Manager and/or Design Engineer, Product Manager, Maintainability Engineering Manager, and Manufacturing representative for their acceptance. (Refer to subheads 7.1 and 7.2.) If they do not accept the waiver request, the issue is escalated within the PBU for resolution.

   The PBU representative is responsible for developing and documenting a disposition plan that assesses the effects of nonconformance and presents a plan of action.

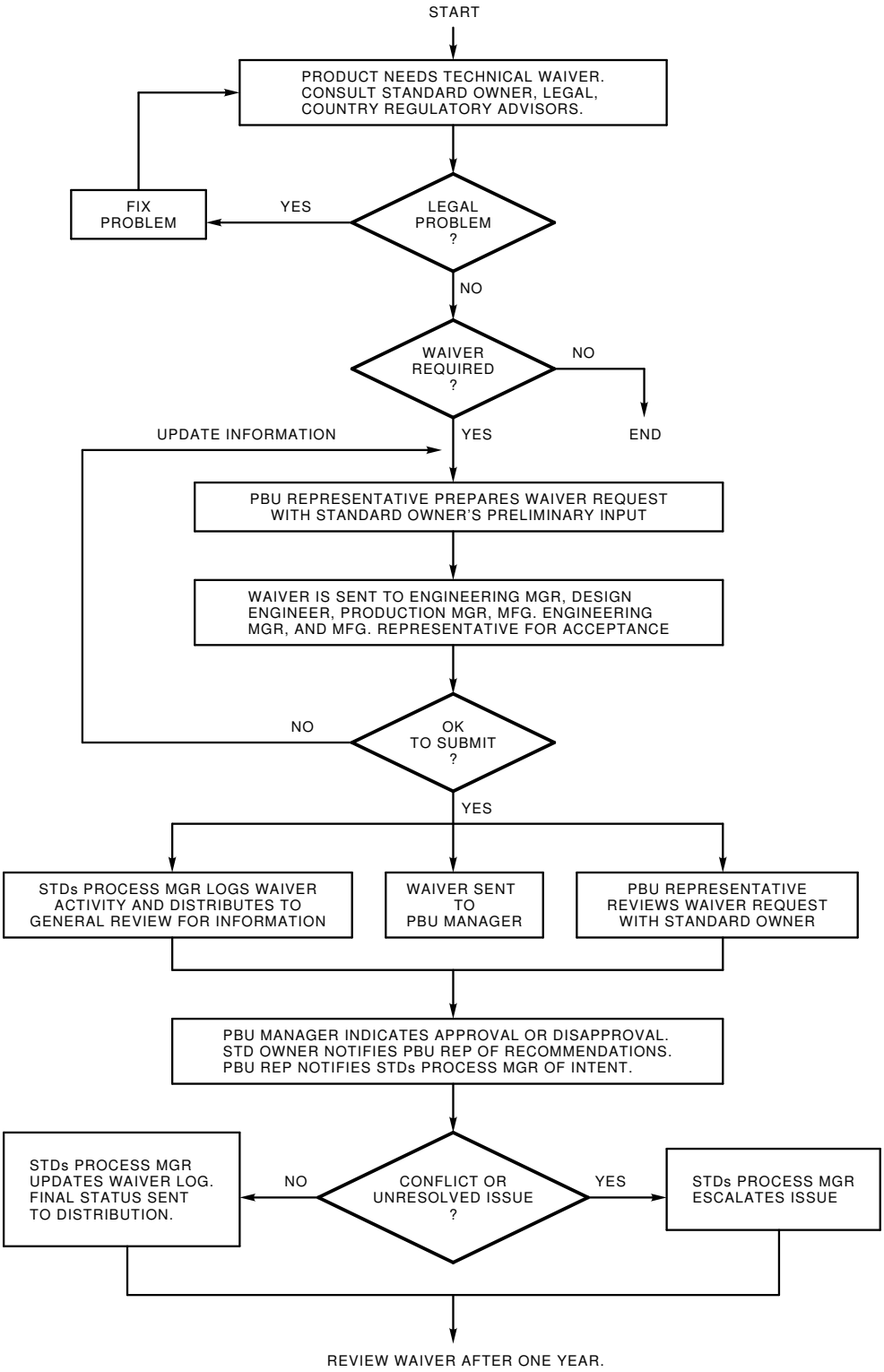
5. The PBU representative sends the electronic Waiver Request Form, with recorded comments from those groups listed in step 4, to the standard owner, the PBU Manager, and the Standards Process Manager.

6. The Standards Process Manager assigns a log number and distributes the Waiver Request Form to the general review group. (See *DEC STD 001-0 Management of Technical Standards and Related Documentation.*) The general review does not affect processing time of the waiver. Members of the general review group are not required to comment, but any comments they send to the PBU representative must be considered and replied to.
7. The PBU representative is responsible for reviewing and resolving any comments received. Upon request, the standard owner shall provide guidance. If the standard is associated with a technical domain, the standard owner is expected to review the waiver with the domain manager. The process for approving a waiver is not dependent on the review. Refer to *DEC STD 066-1 Technical Domains in the Product Development Process* for a list of technical domain managers.
8. The PBU representative indicates the PBU's intended action on the form and obtains the PBU Manager's signature. The form is then forwarded to the Standards Process Manager. Upon receipt of the PBU Manager's approval signature, the waiver is activated.
9. The standard owner informs the PBU representative whether he or she supports the waiver and explains on the form (signed disposition) the reasons for the support or nonsupport. The standard owner need not approve the waiver request before it becomes active. The standard owner also provides the PBU representative with any additional technical recommendations and alternatives, as in step 2.
10. The Standards Process Manager notifies the Internal Standards, Information, and Services (ISIS) Manager of the intended action on the waiver. The ISIS Manager is responsible for escalating any waivers with which the PBU management and the standard owner disagree. The ISIS Manager shall raise the issues to the PBU Manager, the standard owner, and the appropriate level of senior management for the PBU involved if resolution cannot be obtained.
11. The Standards Process Manager notifies the general review group of the PBU's recommendation.

NOTE

After one year, the waiver shall be reviewed.

Figure 1: Product Technical Waiver Process Flow



4 PROCESS MONITORING AND CONTROL

The Standards Process Manager shall administer and maintain the waiver process. To ensure this occurs, he or she must be copied on all correspondence regarding technical product waivers.

In turn, the Standards Process Manager shall:

- Maintain a complete file of all waivers requested.
- Issue a regularly scheduled report on active waivers to applicable PBU representatives, PBU managers, standard owners, and general review groups.
- Provide timely notification of new waivers.
- Establish a schedule for periodic review of each waiver with the PBU representative and standard owner, to determine if conditions warrant closing or canceling the waiver. This can be accomplished through a meeting or electronic mail. (Note that a waiver must be reviewed after one year.)
- Send a notice to the PBU representative and standard owner when a waiver is about to expire.

5 DISTRIBUTION

Electronic mail shall be used to distribute and communicate the waiver process. The signature page shall be the only page distributed through ground mail after all handwritten signatures are gathered.

6 STANDARD REVIEW GROUPS

Refer to *DEC STD 001-0 Management of Technical Standards and Related Documentation.*

7 RESPONSIBILITIES

The following individuals have the following responsibilities with respect to the design standard waiver process.

7.1 PRODUCT BUSINESS UNIT (PBU) MANAGER

The PBU Manager is responsible for:

- Maintaining any waiver implemented on his or her product
- Ensuring that the correct individuals are listed in the Option/Module list for their products
- Delegating responsibilities within the process—the PBU Manager is responsible for signing the waiver for the PBU
- Ensuring that a PBU representative is assigned within the PBU management team
- Ensuring that the PBU management team, standard owner, and the general review group assess the waiver's impact on business and verify that the waiver is currently valid

- Ensuring that the documented disposition plan is created and becomes part of the waiver file
- Making product business decisions

7.2 PRODUCT BUSINESS UNIT (PBU) REPRESENTATIVE

One person shall be responsible for driving the waiver, on behalf of the PBU, through this process. For the purpose of this document, this person is called the *PBU representative*. The PBU representative is expected to be one of the following: the Engineering Manager and/or Design Engineer, Product Manager, Maintainability Engineering Manager, or the Manufacturing representative listed in the updated Option/Module list. These individuals constitute the people responsible for implementing a technical waiver in the context of this standard.

The PBU representative may add individuals to this process, depending on what aspect of the engineering or manufacturing process is affected by the waiver.

The PBU representative is responsible for:

- Providing all information requested on the Waiver Request Form.
- Getting acceptance from the Engineering Manager and/or Design Engineer, Product Manager, Maintainability Engineering Manager, and Manufacturing representatives listed in the updated Option/Module list for the product prior to sending the Waiver Request Form to the standard owner, the PBU Manager, and the Standards Process Manager.
- Addressing and answering any concerns of the general review group.
- Providing the hardcopy signature page with the original signatures, to complete the waiver file.
- Developing and documenting a plan of effectivity, recovery, or inaction on affected units. This plan shall become part of the waiver file.
- Driving the review of the product one year after the waiver becomes active. The PBU management team, standard owner, and general review group will be the sources of the information. Based on this review, the PBU representative shall write a final report and send it to the standard owner and standard process representative. A copy of this report shall be retained in the waiver file and PBU files.

7.3 STANDARD OWNER

The standard owner is responsible for:

- Providing consultation to the PBU representative on the technical aspects of the waiver request
- Ensuring that the Standards Process Manager is informed about the possibility of a pending waiver request
- Providing recommendations and alternatives to the PBU representative requesting a waiver
- Using the Standards Advisory Committee wherever possible to provide assistance in determining a recommendation for, or acceptable alternatives to, a waiver request

7.4 STANDARD ADVISORY COMMITTEE MEMBERS

The members of the Standard Advisory Committee are responsible for:

- Keeping well informed on the standards with which they are working (content, trends, and impacts) and on country laws and regulations
- Providing assistance, when requested, to the standard owner in determining a recommendation for, or alternative to, a waiver request
- Reviewing all waiver requests, when necessary, and commenting promptly

7.5 STANDARDS PROCESS MANAGER

The Standards Process Manager is responsible for the administration of the waiver process, which includes:

- Maintaining a complete file of all requested waivers
- Distributing the completed Waiver Request Form to the general review group
- Escalating any unresolved issues to the ISIS Manager and, if necessary, to appropriate senior management
- Issuing a regularly scheduled report on active waivers
- Notifying the PBU representative when a waiver is about to expire
- Reviewing each waiver with the PBU representative and the standard owner at scheduled intervals to determine if conditions warrant closing or canceling the waiver
- Notifying the PBU Manager, PBU representative, and standard owner when the yearly waiver review is required
- Ensuring that any legal concern is addressed and answered by the PBU representative

7.6 ISIS MANAGER

The ISIS Manager, with respect to the waiver process, is responsible for:

- Generating clear policies and formal processes that allow product waiver issues to be resolved in a responsible manner.
- Ensuring that unresolved issues are appropriately escalated. The ISIS Manager is responsible for escalating any waivers with which PBU management and the standard owner disagree. The ISIS Manager shall raise the issues to the appropriate senior manager for the PBU involved.
- Ensuring that issues are communicated openly and promptly and that the status of active waivers is monitored and reported regularly.
- Auditing and reviewing the waiver process for compliance with the requirements of this document.

8 WAIVER REQUEST FORM

The Waiver Request Form, shown in Figure 2, is available electronically. It allows the requester to use as much space as necessary to provide information. The requester must answer the applicable questions and indicate N/A for information that is not applicable. The requester should use capital letters when completing the form.

NOTE

If processing a waiver request to more than one Digital standard, a separate waiver form must be used for each affected standard.

To request an electronic copy of this form please contact:

Susan Sipila

DTN: 223-7471, MILPND::SIPILA

or

SMC VTX, Menu Selection "Waivers to Digital Design Standards"

Figure 2: Product Waiver Request Form

```
==========================================================================
REV C                    PRODUCT WAIVER REQUEST          WAIVER NO:
==========================================================================

Product Number(s)_____________________________    Date Initiated_____________
(2-5-2 format)                                    Date Revised_______________

Brief Product Description_____________________________________________________

Product/Business Unit Name____________________________________________________

Product/Business Unit Representative (originator) for this waiver:

      Name _____________________________________________________________

      Mailstop _____________________________________________________________

      DTN (or outside phone, if none) _____________________________

      ENET or MTS _____________________________________________________

Engineering Manager (see Option/Module List):

      Name _____________________________________________________________

      Mailstop _____________________________________________________________

      DTN (or outside phone, if none) _____________________________

      ENET or MTS _____________________________________________________

Design Engineer (see Option/ Module List):

      Name _____________________________________________________________

      Mailstop _____________________________________________________________

      DTN (or outside phone, if none) _____________________________

      ENET or MTS _____________________________________________________

Product Manager (see Option/Module List):

      Name _____________________________________________________________

      Mailstop _____________________________________________________________

      DTN (or outside phone, if none)_____________________________

      ENET or MTS _____________________________________________________

Maintainability Engineering (ME) Manager (see Option/Module List):

     Name _____________________________________________________________

     Mailstop _____________________________________________________________

     DTN (or outside phone, if none) _____________________________

     ENET or MTS _____________________________________________________
```

Figure 2 (continued on next page)

Figure 2 (Cont.): Product Waiver Request Form

```
==========================================================================
REV C                      PRODUCT WAIVER REQUEST          WAIVER NO:
==========================================================================

Manufacturing Representative (see Option/Module List):

     Name _____________________________________________________

     Mailstop _________________________________________________

     DTN (or outside phone, if none) ___________________________

     ENET or MTS _______________________________________________

Other (as added per subhead 7.2)

     Name _____________________________________________________

     Mailstop _________________________________________________

     DTN (or outside phone, if none) ___________________________

     ENET or MTS _______________________________________________

Number and Title of Digital Standard _____________________________

_____________________________________________________________________

Standard Owner_____________________________________________________

To what specific requirements of the Digital standard is a waiver
requested? Please detail.

Describe specifically why the product does not meet the Digital
standard's requirements. Please detail.

Standard owner's preliminary response and recommendations:
(attach appropriate correspondence)

==========================================================================

When did the problem first become known (date)? _____________________

What related products does this waiver affect or involve?

What would it entail to solve the product problem without a waiver?

What period of time (or quantity of product) would be covered by this
waiver?

Expiration Date _________________
==========================================================================

How does this waiver affect the business plan for the product?

What would be the financial impact on the Corporation if the waiver is
implemented?
```

Figure 2 (continued on next page)

Figure 2 (Cont.): Product Waiver Request Form

```
==========================================================================
REV C                      PRODUCT WAIVER REQUEST          WAIVER NO:
==========================================================================

What would be the financial impact on the Corporation if the waiver is
not implemented?

What is the First Customer Ship date? _____________________________

OR

How many products have been shipped? _____________________________

What other groups in Digital could this waiver request affect? _______
(For  example,  other  groups intending to incorporate this product in
their systems.)

Do they support this waiver request? ______________________________

If the waiver is implemented:

     Where can products be shipped? _______________________________

     Where can products NOT be shipped? ___________________________

Has the documented plan of disposition been reviewed by the
PBU management team?  (Please attach to this request.)

How will restricted distribution of this product be controlled?

Is any agency labeling or testing applicable? _____________________

If yes, please detail. ____________________________________________

Explain implications. ____________________________________________

Will   any   changes   or   errata   sheets   be   required   for   customer
documentation or literature?

Will it be appropriate to notify customers who will receive affected
equipment?  If so, how will this be accomplished?
```

Figure 2 (continued on next page)

Figure 2 (Cont.): Product Waiver Request Form

```
================================================================================
REV C                      PRODUCT WAIVER REQUEST          WAIVER NO:
================================================================================

APPROVALS  (File  copy to be retained by the Standards Process Manager
and a copy to each person signing this form.)

                     DISAPPROVE --------+
                                        |
                     APPROVE -------+   |
                                    |   |
                                    V   V
Engineering Manager                +-+ +-+
and/or                             | | | |
Design Engineer _________________  +-+ +-+  Badge _______ Date__________
                                   +-+ +-+
                                   | | | |
Product Manager _________________  +-+ +-+  Badge _______ Date__________
                                   +-+ +-+
Maintainability                    | | | |
Engineering Manager _____________  +-+ +-+  Badge _______ Date__________
                                   +-+ +-+
Manufacturing                      | | | |
Representative __________________  +-+ +-+  Badge _______ Date__________
                                   +-+ +-+
                                   | | | |
Other___________________________   +-+ +-+  Badge _______ Date__________


================================================================================
WAIVER DISPOSITION:  Standard Owner: _____________________________________

_____ Product Manager notified that the situation does not require a
      waiver.  Explanation: ______________________________________________

_____ Support waiver.  The following conditions to waiver are
      recommended: _______________________________________________________

_____ Waiver not supported.  Problem must be corrected and product
      made compliant with the Digital standard or specification.

      Recommends  the  following prescriptions to fix the problem.
      They include: ______________________________________________________

Standard Owner _____________________________ Badge ________ Date ___________

================================================================================
Intended action by Product/Business Unit:_____________________________________

Product/Business Manager:_____________________ Badge _______ Date_________

Signature______________________________________________________________________

            +---------------------------------------------+
            |    For Waiver Administration use only       |
            |                                             |
            | Date Closed _____________ Waiver No. _______|
            +---------------------------------------------+
```

APPENDIX A REFERENCED DOCUMENTS

A.1 Digital Documents, EL-Class

EL-Class Number	Document Title
76-65075-00	*Procedure for Processing Non-Conforming Material and In-Process Waiver*
EL-00001-00	*DEC STD 001-0 Management of Technical Standards and Related Documentation*
EL-00005-02	*DEC STD 005-2 Reporting Products Potentially Non-Compliant with Digital Design Standards*
EL-00066-00	*DEC STD 066-0 Digital Design Standards*
EL-00066-01	*DEC STD 066-1 Technical Domains in the Product Development Process*
EL-00066-03	*DEC STD 066-3 Policy for Designing Products for All Countries Designated As Strategic Markets*
EL-MF005-00	*Manufacturing Waiver Policy*

READER COMMENTS

Your comments and suggestions will help Standards and Methods Control improve their services and documents.

Did you request this document? _____ If so, did it arrive within a satisfactory period of time? _____ Please comment.

What are your impressions of this document? Consider format, organization, completeness, readability, and illustrations.

——————————**FOLD ON THIS LINE**——————————————————————— -

Did you find technical or clerical errors in this document? If so, please specify the page number(s) and the error(s).

Are the instructions for the update package clear? _____
Was an index available? _____ If not, is one needed? _____
Do you have other suggestions for improving this document?

The following information is optional:

Name _____ Mailstop _____

Department _____ Node _____

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